

Strategic Plan

PROMOTING EXCELLENCE IN CORRECTIONS THROUGH
INDEPENDENT AND TRANSPARENT OVERSIGHT

Contents

A MESSAGE FROM THE INSPECTOR GENERAL	1
ABOUT THE OFFICE OF THE INSPECTOR GENERAL	2
OUR CORE VALUES AND MISSION	3
OUR STRATEGIC PLANNING PROCESS	4

Goals and Objectives

GOAL 1:
ASSIST CDCR IN BECOMING A MODEL CORRECTIONAL
AGENCY 6

GOAL 2:
ACHIEVE EXCELLENCE IN COMMUNICATION 7

GOAL 3:
IMPLEMENT EFFECTIVE AND EFFICIENT WORK
PROCESSES 8

GOAL 4:
MAXIMIZE USE OF THE OIG'S RESOURCES TO MEET
ORGANIZATIONAL GOALS 9

A MESSAGE FROM THE INSPECTOR GENERAL

As the oversight agency for California's correctional system, the Office of the Inspector General has worked hard to earn a reputation for integrity and professionalism while bringing transparency and accountability to the state's correctional system. The OIG acts as the eyes and ears of the public in overseeing the state's prisons and correctional programs. Our office carries out that mission by rigorously investigating and auditing the California Department of Corrections and Rehabilitation to uncover criminal conduct, administrative wrongdoing, poor management practices, waste, fraud, and other abuses by staff, supervisors, and management.

These efforts take place in an atmosphere of constant change. California's inmate population has reached crisis levels, the federal court appointed a receiver to manage the medical system, and the legislature passed sweeping reforms designed to reduce recidivism. During the last four years, the California Department of Corrections and Rehabilitation reinvented its organizational structure and changed leaders four times, and the federal receiver has changed two times. During these years, the OIG also restructured and expanded its mission to assist CDCR in becoming a more effective state agency by providing independent and transparent oversight to the correctional system.

We have developed a strategic plan that reflects these external and internal changes by laying out priorities for the organization's goals and advancing our organizational effectiveness. Our strategic planning process aligns objectives into actionable and measureable activities to ensure the plan's success. In order to succeed in this challenging and ever-changing environment, the OIG must have a self-motivated and focused strategic plan that represents our direction. We evaluate our progress regularly making midcourse adjustments to reflect the current environment and changing priorities.

While our strategic plan's vision, mission, values, and goals are a fundamental beginning, our commitment to manage and work by those standards determines our ultimate success. If this strategic plan sits on a shelf and we continue to work according to the status quo, we will find ourselves unable to adapt, and we will quickly become ineffective. This strategic plan is the driving force for our everyday workload. We must also create a team atmosphere in which staff members use this document as a guideline for reaching our goals. Only in this way will we see our vision, "Promoting Excellence in Corrections through Independent and Transparent Oversight," become a reality. I am looking forward to working together with my OIG colleagues to achieve these shared goals.



David R. Shaw
Inspector General

ABOUT THE OFFICE OF THE INSPECTOR GENERAL

The Inspector General's specific responsibilities consist of the following:

- Conduct investigations, audits, and special reviews at the request of the Governor, members of the Legislature, the Secretary of the California Department of Corrections and Rehabilitation (CDCR), and on the Inspector General's own initiative.
- Perform real-time oversight of internal affairs investigations into alleged misconduct by CDCR employees.
- Conduct audits of each correctional institution at least once every four years and a baseline audit of each warden or superintendent of an institution one year after appointment.
- Review CDCR policies and procedures.
- Establish and maintain a toll-free public telephone number to allow reporting of administrative wrongdoing, poor management practices, criminal conduct, fraud, or other abuses in the CDCR.
- Investigate complaints of retaliation against those who report misconduct on the part of the CDCR and its employees.
- Evaluate and report on the qualifications of the Governor's candidates for warden or superintendent with regard to each candidate's ability to discharge the duties of the office for the state's adult and juvenile correctional institutions.
- Refer matters involving criminal conduct to law enforcement authorities in the appropriate jurisdiction or to the Attorney General.
- Through the Office of the Sexual Abuse in Detention Elimination Ombudsperson, investigate reports of the mishandling of incidents of sexual abuse within correctional facilities, maintain the confidentiality of victims of sexual abuse if requested, and ensure the impartial resolution of inmate and ward sexual abuse complaints.
- Regularly examine the various mental health, substance abuse, educational, and employment programs for inmates and parolees operated by the CDCR through the California Rehabilitation Oversight Board (C-ROB).
- Conduct facility inspections of adult and juvenile institutions to examine systemic issues and significant complaints, identify problem areas that may lead to investigations or audits, and follow up on prior complaints.

- Audit the California Prison Health Care Receivership Corporation's expenditures to ensure transparency and accountability.
- Respond to CDCR critical incidents including officer-involved shootings, custodial deaths, serious injuries against correctional staff by inmates, and correctional staff member deaths caused by inmates.
- Inspect and monitor health care delivery at CDCR institutions.
- Monitor use-of-force committee meetings conducted at each adult and juvenile correctional institution.
- Investigate allegations of fraud, waste, and abuse occurring within CDCR.

OUR CORE VALUES AND MISSION

OIG FIRST

- **Fairness:** The OIG is objective, balanced, and unbiased.
- **Integrity:** The OIG is honest, ethical, and principled.
- **Respect:** The OIG honors the rule of law and values people and their ideas.
- **Service:** The OIG is devoted to duty and committed to the public good.
- **Transparency:** The OIG operates with openness and provides thorough and accurate reporting.

The Office of the Inspector General's mission is to provide oversight and transparency of the correctional system through independent monitoring, audits, and investigations.

OUR STRATEGIC PLANNING PROCESS

The Office of the Inspector General (OIG) started its strategic planning effort in December 2006. To obtain information about the OIG's organizational effectiveness and accomplishments and its strengths, weaknesses, opportunities, and challenges, executive management hired a consultant to survey OIG staff members and external stakeholders. The consultant grouped the survey responses into common themes and provided the results to OIG management and eventually to all staff.

In March 2007, OIG staff members developed organizational vision, mission, and goal statements aligned with the key survey themes. After the OIG management team refined the strategic goals, individual managers met with their assigned staff teams to identify themes, or topics, for developing objectives under each goal. Finally, the management team used those topics to develop specific objectives for each strategic goal. Strategic objectives define statements of intent that specify a measurable, time-based target to accomplish.

To move the strategic planning process forward, the Inspector General formed a ten-member Strategic Planning Council (SPC). SPC members included the OIG's executive management team and other staff members from the Bureau of Independent Review, the Bureau of Audits and Investigations and the Bureau of Criminal Investigations. The SPC functioned as an internal board of directors that oversaw and shepherded the strategic planning process. Initially, the SPC refined the goals and identified each goal's expected outcome; the SPC then refined the objectives and drafted specific performance measures for the OIG to accomplish with each objective. Measures describe the intended level of input, output, outcome, efficiency, or quality that results from a specific objective.

To implement the OIG's strategic plan, the SPC assigned staff members to work in teams and develop work action plans for each objective. These detailed work plans identify tasks that formulate the OIG's strategies for carrying out its objectives. In October 2007, the teams finalized their work action plans, and executive management approved the work plans for implementation.

In the evolution of the Strategic Plan process and implementation, the Strategic Plan Council was realigned in December 2008 to ensure that those with the responsibility for accomplishing tasks also have the authority necessary to get them done. Management and tracking of the Strategic Plan will now be handled by the Team Champions. Executive Staff will act as liaisons to the Team Champions so that as issues arise, each Champion will have a specific person they can contact to help with issues or problems. Over the next five years, the OIG intends to perform the following steps to implement its strategic plan:

- Staff members will implement the specific work plans for each objective.
- Team Champions for each work plan will track the plan's performance measures and regularly report to Executive Staff on their team's progress in completing tasks and implementing planned strategies.
- The Team Champions will monitor the strategic planning process; assess the ongoing relevance of objectives, measures, and work plans and revise them as needed; and report to Executive Staff on the OIG's progress in achieving its strategic goals and objectives.

GOAL 1

ASSIST CDCR IN BECOMING A MODEL CORRECTIONAL AGENCY

1. By July 2009, end the *Madrid* lawsuit and ensure the post-*Madrid* vitality and integrity of CDCR's employee discipline process through necessary safeguards.

Measure: *Date of completion of Madrid lawsuit and percentage of identified safeguards developed and put in place.*

2. By December 2010 90% of all monitored discipline cases will achieve a satisfactory disposition and OIA, EAPT, and hiring authorities will achieve 90 % compliance with CDCR's D.O.M. (Department Operations Manual).

Measure: *Maintain 90 percent of monitored discipline cases receiving satisfactory disposition and percentage compliance with CDCR's D.O.M.*

3. OIG will consistently identify, quantify, and publicly report on CDCR's fraudulent, wasteful, and abusive practices. Make recommendations for change and to reduce associated costs.

Measure: *Fraudulent, wasteful, or abusive practices identified and publicly reported*
*** Identify 25 million in savings*

4. By December 2012, identify whether 100% of institutions are providing health care that meets constitutional standards, as defined by the federal court.

Measure: *Percentage of institutions providing health care meeting constitutional standards.*

5. Assist CDCR in identifying the effectiveness of their programs in reducing recidivism.

Measure: *Publish the March 15th and September 15th C-ROB reports.*

6. Evaluate CDCR's ability to provide rehabilitative programming opportunities for 100 percent of eligible inmates, wards, and parolees on at least four institutions annually.

Measure: *Percentage of inmates, wards, and parolees provided rehabilitative programming opportunities.*

7. Publicly monitor CDCR in eliminating the use of temporary beds in institutions by 2012.

Measure: *Report the number and percent of temporary beds in use in each C-ROB report and every quarterly inspection report*

8. Eliminated from Strategic Plan

Outcome:

CDCR will become a model correctional agency.

GOAL 2

ACHIEVE EXCELLENCE IN COMMUNICATION

1. By December 2008, have an intranet portal for staff access to key OIG resources.
This objective has been completed.

Measure: *Intranet portal established.*

2. Conduct regular BAI and BCI inspections at all correctional facilities and parole regions.

Measure: *Complete an inspection at every in-state facility and parole region semi-annually.*

3. OIG annual, semi-annual and quarterly reports will be timely published.

Measure: *100 % Percent of public reports published within 90 days.*

4. Employees believe that the OIG has excellent internal communication.

Measure: *75 percent of employees rate OIG internal communication as excellent on an internal survey.*

5. By December 2009, 100% of the OIG's public reports and press releases meet the OIG readability standard before they are published.

Measure: *Percentage of public reports that meet the OIG readability standard as measured by the OIG readability evaluation tool*

6. By July 2010 70% of external stakeholders will rate the OIG on average as very good or excellent on an external stakeholder's survey.

Measure: *Percent of external stakeholders rating of OIG as very good or excellent*

Outcome:

The public will receive accurate and timely information regarding key aspects of the correctional system.

GOAL 3

IMPLEMENT EFFECTIVE AND EFFICIENT WORK PROCESSES

1. 100% of travel and expense claims will be consistently processed within 10 days of submission (of complete travel information).

Measure: Percentage of travel claims processed within 10 days

2. Continue to timely meet 100% of the State administrative reporting requirements.

Measure: 100% of requirements met on time

3. Update, publish, and distribute 100% of current OIG policies and procedures to all staff by May 1, 2009.

Measure: 100% of OIG current policies and procedures are published, distributed, and updated annually by May 1.

4. Create and fully implement a comprehensive OIG training plan by January 2010.

Measure: 90 percent of staff trained in accordance with the training plan.

5. Continue to meet all legally mandated audits, vetting, retaliation, and monitoring requirements.

Measure: Percent of requirements met.

6. Establish meaningful access with the pertinent IT supported CDCR information systems databases.

Measure: By January 2010 OIG will have meaningful access to 100 percent of CDCR information systems.

7. Fully Comply with Generally Accepted Government Auditing Standards (GAGAS) and Association of Inspectors General (AIG) Standards by July 2009.

Measure: Continue to maintain full compliance within the bounds of the law.

Outcome:

The OIG will produce policy-shaping reports at a faster pace.

GOAL 4

MAXIMIZE USE OF THE OIG'S RESOURCES TO MEET ORGANIZATIONAL GOALS

1. 100% of Administration desks will have a designated and trained back-up and IT will have a back-up plan.

***Measure:** 100 percent of Administration desks will have a designated back-up and IT will have a back-up plan by July 2009.*

2. Suspended. By January 2010, verify that 75 percent of Bureau of Audits and Investigations (BAI) staff members gain experience in at least three of the following areas: intake, warden vetting, investigations, audits, and Bureau of Independent Review (BIR) monitoring.

***Measure:** Percentage of BAI staff members gaining experience.*

3. Each fiscal year, the OIG will develop and track progress on its annual work plan.

***Measure:** Continue to follow the OIG work plan.*

4. By July 2010, 100% of OIG staff will be participating in the Human Resources Development Plan (Merge 4.5 into this).

***Measure:** Percentage of OIG staff members participating.*

5. Merged in to number 4.

***Measure:** Percentage of necessary skill sets.*

6. By July 2009, 100% of OIG supervisors and managers will participate in a 360 performance review.

***Measure:** Percent of supervisors and managers participating in 360 performance review.*

Outcome:

The OIG will meet all of its commitments with available resources.